

Title Insurance Investigations
Open Investigations Summary Report

I Case #	Date Opened	Date Closed	Elapsed Time	Reason Closed																					Alleged Violation
					31A-2-202; repts. & replies, failure to respond	31A-2-405 Violation of Dual Licensing	31A-14-211; foreign title insurers	31A-19a-209 Req of ratel/premium filings	31A-23a-103; req. of license termination, Req of Prod.	Lic-31A-23a-115 Individual or Agency	31A-23a-302; Req of agency desig.	31A-23a-402; unfair marketing	31A-23a-406; title escrow	31A-23a-409; trust funds	31A-23a-412;Failure to Maintain address/email; records	31A-23a-413 Failure to File annual report	31A-23a-415; Failure to pay bus. Assessment	31A-23a-503; controlled act	R590-99; fraudulent ins. practices	R592-6; unfair title marketing	AUDIT	Referred to Criminal			
68572	2/14/17		78										x												Alleged doing a closing without paying off liens and or issuing a policy
68724	3/13/17		47						x																Alleged unlicensed activity/RESPA Violation
68743	3/15/17		45																	x					Advertising with a client
68900	4/4/17		27					x																	Alleged unlicensed activity
68901	4/4/17		27					x																	Alleged unlicensed activity
68901	4/4/17		27					x																	Alleged unlicensed activity
68902	4/4/17		27					x																	Alleged unlicensed activity
68903	4/4/17		27					x																	Alleged unlicensed activity
68904	4/4/17		27					x																	Alleged unlicensed activity
68905	4/4/17		27																	x					Lien not paid off
68947	4/10/17		21											x						x					discrepancies in legal discription
68957	4/12/17		19																						Title Agency wont release escrowed funds
68996	4/19/17		12										x												Title Agency didn't forward IRS forms
68997	4/19/17		12									x													Unfair Inducement/offered discount
69075	5/10/17		21																	x					Attempt to cloud title
69113	5/17/17		14					x																	Alleged unlicensed activity
69114	5/17/17		14					x																	Alleged unlicensed activity

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66299	12/8/15	2/10/16	64	No Business					X																							Alleged Unlicensed Business	
66300	12/8/15	2/10/16	64	No Business					X																								Alleged Unlicensed Business
66301	12/8/15	2/10/16	64	No Business					X																								Alleged Unlicensed Business
66302	12/8/15	2/10/16	64	PriLOA					X																								Alleged Unlicensed Business
66303	12/8/15	2/10/16	64	No Business					X																								Alleged Unlicensed Business
66304	12/8/15	2/10/16	64	No Business					X																								Alleged Unlicensed Business
66306	12/8/15	2/10/16	64	No Business					X																								Alleged Unlicensed Business
66322	12/10/15	2/10/16	62	Training									X								X												Alleged Co-advertising
65040	2/26/15	2/19/16	358	E-case 3730								X	X	X																			Alleged: conducting escrow without issuance of title insurance, charging un-filed fees, conversion of funds to personal ues, theft of funds due the agency
66691	2/11/16	3/1/16	19	Audit no Issues																										X			Audit
66692	2/11/16	3/1/16	19	Audit no Issues																										X			Audit
66450	1/6/16	3/2/16	56	No Business					X																								Alleged Unlicensed Business
66451	1/6/16	3/2/16	56	No Business					X																								Alleged Unlicensed Business
66452	1/6/16	3/2/16	56	No Business					X																								Alleged Unlicensed Business
66453	1/6/16	3/2/16	56	No Business					X																								Alleged Unlicensed Business
66454	1/6/16	3/2/16	56	No Business					X																								Alleged Unlicensed Business
66664	2/9/16	3/7/16	27	E-Case 3731																													Failure to appoint and terminate producers 31A-23a-115
66298	12/8/15	3/14/16	97	E-case 3742					X																								Alleged Unlicensed Business
66813	3/1/16	3/14/16	13	PubLOA																													Agencies not apptd
65743	8/4/15	3/24/16	233	No violations																													Issues range from use of unauthorized banking institution, failure to maintain records, failure to supervise agents, use of marketing materials, re-distribution of marketing materials, unfair claims processes, exceeding the statutory amount for an open house, use of name other than that which is licensed, paying an employee who is also a real estate agent.
66957	3/21/16	3/25/16	4	E-Case 3753												X																	Failure to pay assessment when due.
66671	2/10/16	4/5/16	55	No Business				X																									Alleged Unlicensed Business
66672	2/10/16	4/5/16	55	No Business				X																									Alleged Unlicensed Business
66674	2/10/16	4/5/16	55	No Business				X																									Alleged Unlicensed Business
65272	4/13/15	4/11/16	364	Case closed Pending District Court Case												X								X									Unfair claims handling, trust account?
66670	2/10/16	4/11/16	61	PriLOA				X																									Alleged Unlicensed Business
66673	2/10/16	4/11/16	61	PriLOA				X																									Alleged Unlicensed Business
66231	11/19/15	4/28/16	161	Suspended									X																				Insurer liability for funds deposited by their agent
66817	3/2/16	5/2/16	61	Completed Audit																										X			Audit
66819	3/2/16	5/2/16	61	Completed Audit																										X			Audit

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					31A-2-202; repts. & replies	31A-4-102; qualified insurers	31A-14-211; foreign title insurers	31A-15-102; unauth. insurers	31A-20-110; underwriting rules	31A-23a-103; req. of license	31A-23a-107; character termination	31A-23a-111; license	31A-23a-112; lic. probation	31A-23a-204; special req.	31A-23a-302; agency desig. marketing	31A-23a-402; unfair	31A-23a-406; title escrow	31A-23a-409; trust funds	31A-23a-411.1; prem. proc.	31A-23a-412; records	31A-23a-413 annual report	31A-23a-503; controlled bus. act	31A-31-103; fraudulent ins.	R590-99; unfair title practices	R592-6; unfair marketing	R590-190; unfair claims	R590-206; information privacy	R590-216; privacy standards	R592-3; escrow charges filing	R592-4; escrow chgs. Stds.
66247	11/23/15	5/9/16	168	E-case 3774																										Dual licensing violation
67020	4/5/16	5/10/16	35	No Business				X																						Alleged Unlicensed Business
67022	4/5/16	5/10/16	35	No Business				X																						Alleged Unlicensed Business
67025	4/5/16	5/10/16	35	No Business				X																						Alleged Unlicensed Business
67021	4/5/16	5/11/16	36	PriLOA				X																						Alleged Unlicensed Business
67023	4/5/16	5/11/16	36	PriLOA				X																						Alleged Unlicensed Business
67024	4/5/16	5/11/16	36	PriLOA				X																						Alleged Unlicensed Business
67217	5/13/16	5/13/16	0	E-Case 3777 Informal	X														X											Failed to file Annual Report and Controlled Business Repot
67241	5/19/16	5/13/16	383	PubLOA															X											Failure to file Annual Report and Controlled Business Report
67214	5/13/16	5/19/16	6	Informal Action E-Case 3774 PubLOA	X														X											Failed to file Annual Report and Controlled Business Repot
67216	5/13/16	5/19/16	6	Informal Action E-Case 3778 PubLOA	X														X											Failed to file Annual Report and Controlled Business Repot
67150	5/2/16	6/1/16	30	Closing Business																								X		Audit
67151	5/2/16	6/1/16	30	Clean Audit																								X		Audit
67198	5/10/16	6/14/16	35	E-Case 3788																										Failure to post CE in required timeframe
67258	5/23/16	6/23/16	31	PriLOA												X														Failure to file Annual Report and Controlled Business Report
67260	5/23/16	6/23/16	31	PubLOA												X														Failure to file Annual Report and Controlled Business Report
67263	5/23/16	6/23/16	31	PubLOA												X														Failure to file Annual Report and Controlled Business Report
66171	11/9/15	7/28/16	262	No error by Agency					X																					Alleged Unlicensed Business
67456	7/12/16	8/15/16	34	No unlicensed activity					X																					Alleged Unlicensed Business
67458	7/12/16	8/15/16	34	No unlicensed activity					X																					Alleged Unlicensed Business
67459	7/12/16	8/15/16	34	No unlicensed activity					X																					Alleged Unlicensed Business
67460	7/12/16	8/15/16	34	No unlicensed activity					X																					Alleged Unlicensed Business
67205	5/11/16	8/22/16	103	Fixed name with UID and DOC																								X		Audit
65922	9/11/15	8/31/16	355	E-Case 3823					X																					Alleged Unlicensed Business
65039	2/26/15	9/1/16	553	E-Case 3822							X								X	X										Overcharging pass-thru fees, agency
67367	6/20/16	9/6/16	78	Unfounded																X				X						Relationship with a Real Estate Brokerage
67457	7/12/16	9/6/16	56	E-Case 3824					X																					Alleged Unlicensed Business
67461	7/12/16	9/6/16	56	PriLOA					X																					Alleged Unlicensed Business
67510	7/20/16	10/11/16	83	PriLOA		X							X																	Alleged forgery of a document/alteration of an original document after signature and notary.

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67511	7/20/16	10/11/16	83	PriLOA										X																	Alleged forgery of a document/alteration of an original document after signature and notary.	
67630	8/16/16	11/2/16	78	No Violation																		X									Sponsoring, co-sponsoring Ads in a publication	
67631	8/16/16	11/2/16	78	No Business						X																					Alleged unlicensed activity	
67632	8/16/16	11/7/16	83	No Business						X																					Alleged unlicensed activity	
67753	9/6/16	11/7/16	62	No Business						X																					Alleged unlicensed activity	
67759	9/6/16	11/7/16	62	Fees Paid										X																	Alleged Title Agcy failed to transfer funds to HOA	
68047	11/2/16	11/8/16	6	no issue																											Property line dispute between owner and neighbor	
67750	9/6/16	11/9/16	64	PriLOA						X																					Alleged unlicensed activity	
67751	9/6/16	11/9/16	64	PriLOA						X																					Alleged unlicensed activity	
67752	9/6/16	11/9/16	64	PriLOA						X																					Alleged unlicensed activity	
67937	10/11/16	12/5/16	55																												Found to be a qualifier for 3 agency, limit is 2	
67508	7/20/16	12/12/16	145	No issue		X																									Licensee knowingly paid compensation to a licensed real estate broker on two different employment occasions	
67940	10/11/16	12/12/16	62	not intended for redistribution																											Provided items of values with Ins Co name on it for a real estate auction.	
67274	5/25/16	12/19/16	208	E-Case 3845			X		X													X									Conducting business with unlicensed agencies, conducting escrow with unlicensed individual producers	
68365	1/5/17	1/12/17	7	No Violations			x					x																			Alleged no office in Utah	
67939	10/11/16	1/17/17	98	Employee Terminated											x																Has employee who is dual licensed	
68113	11/14/16	1/10/17	57	No Violations								x																			Alleged unlicensed activity	
68114	11/14/16	1/10/17	57	No Violations								x																			Alleged unlicensed activity	
68115	11/14/16	1/10/17	57	No Violations								x																			Alleged unlicensed activity	
68116	11/14/16	1/10/17	57	No Violations								x																			Alleged unlicensed activity	
68117	11/14/16	1/11/17	58	PriLOA																											Alleged unlicensed activity	
68375	1/9/17	1/12/17	3	No Violations			x					x																			Alleged no office in Utah	
68404	1/12/17	1/12/17	1	No Violations								x					x														Alleged delay in depositing funds	
68229	12/5/16	1/3/17	28	Audit/no issues														x														
68436	1/18/17	1/30/17	12	No Violations						x		x																				Alleged unlicensed activity
68418	1/13/17	1/17/17	4	Unfounded														x														Alleged missappropriation of funds
68091	11/16/17	2/16/17	92	Referred to Fraud																				x							Complainant told that all liens on property would be paid off	
68238	12/7/16	2/15/17	69	No Violations								x																			Alleged unlicensed activity	
68225	12/5/16	2/15/17	71	Audit/no issues																											Audit	
68224	12/5/16	2/21/17	77	Audit/no issues																											Audit	

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68830	3/27/2017	5/19/2017	53	No Violations																					x								signing policies without examining
68999	4/20/2017	5/9/2017	19	trained new employee											x																	charged less than filed rates	
69037	5/1/2017	5/15/2017	15	No Violations																					x								less and excepted part of the legal description
69043	5/2/2017	5/9/2017	7	No violations																									x				sharing consumer information with investment company
69097	5/15/2017	5/18/2017	3	No Violations																					x								Wrong legal description insured
69115	5/17/2017	5/26/2017	9	No Violations												x																	Alleged unlicensed activity
69116	5/17/2017	5/25/2017	8	No Violations												x																	Alleged unlicensed activity
69125	5/19/2017	5/22/2017	3	No Violations																											x		Title co. owes refund to seller
69072	5/9/2017	5/10/2017	1	No Violations												x																	Alleged unlicensed activity

Title Insurance Investigations Open/Closed

	Opened	Closed		Opened	Closed		Opened	Closed
January	6	4	January	6	19	January	12	5
February	5	5	February	2	6	February	17	11
March	14	13	March	11	7	March	7	10
April	22	26	April	11	5	April	12	7
May	1	11	May	3	4	May	10	19
June	2	11	June	21	6	June		
July	0	4	July	11	18	July		
August	8	6	August	21	25	August		
September	11	12	September	6	4	September		
October	12	13	October	18	4	October		
November	5	10	November	22	16	November		
December	9	10	December	6	10	December		
Totals for 2011	95	125	Totals for 2014	138	124	Totals for 2017	58	52
January	15	9	January	1	17			
February	15	13	February	10	15			
March	12	15	March	1	1			
April	8	3	April	9	10			
May	20	21	May	8	8			
June	13	19	June	11	11			
July	17	17	July	1	0			
August	17	10	August	13	14			
September	3	11	September	5	3			
October	5	17	October	8	8			
November	20	12	November	9	6			
December	13	13	December	10	8			
Totals for 2012	158	160	Totals for 2015	86	101			
January	2	10	January	6	8			
February	15	8	February	8	9			
March	16	19	March	3	13			
April	5	7	April	6	7			
May	5	9	May	12	15			
June	13	4	June	1	6			
July	8	15	July	10	0			
August	3	4	August	3	6			
September	10	13	September	5	4			
October	11	9	October	4	2			
November	20	11	November	7	9			
December	14	9	December	13	4			
Totals for 2013	122	118	Totals for 2016	78	83			

Title Insurance Consumer Complaints

Open and Closed Consumer Complaint Summary Report

Case #	Date Open	Date closed	Complaint	CSA	Results
58109	1/25/2010	2/25/2010	HO premium not paid at closing	Meldee	JUSTIFIED
58202	2/22/2010	2/22/2010	title complaint, feels title company didn't uncover/disclose hazards for clear title and sale of home - flood insurance requirements	Sandy	UNJUSTIFIED
58434	5/19/2010	8/19/2010	Condo Ins not pd at closing	Meldee	UNJUSTIFIED
58624	8/10/2010	8/10/2010	Mechanicsliens recorded on property after closing	Sandy	Withdrawn
58832	11/8/2010	11/16/2010	Title agency did not the seller's delinquent dues paid	Meldee	UNJUSTIFIED
58852	11/15/2010	2/9/2011	Lender complaint. Trust deed not recorded	Meldee	UNJUSTIFIED
58865	11/18/2010	12/9/2010	not supplying title ins or deed to the property	Sandy	UNJUSTIFIED
59045	1/3/2011	1/10/2011	Liens were not cleared at closing	Sandy	UNJUSTIFIED
59067	1/6/2011	2/9/2011	Trust Deed not recorded	Meldee	UNJUSTIFIED
59162	2/1/2011	2/1/2011	Property not recorded properly by agent	Meldee	JUSTIFIED
59272	3/7/2011	4/26/2011	title complaint	Meldee	UNJUSTIFIED
60778	4/20/2012	6/12/2012	Claim Delay	Meldee	UNJUSTIFIED
62236	5/1/2013	7/25/2013	title co. issued deed conveying property which had leagly passed to complainant without notice.	Tammy	Info Not Rec'd
63398	3/7/2014	4/30/2014	Liens not cleared	Tammy	No Jurisdiction on Title Co, Insurer position upheld
63660	4/29/14	4/30/14	Failure to release Funds in Escrow	Tammy	UNJUSTIFIED
63833	6/9/2014	8/7/2014	Alleged overchging of fees	Tammy	UNJUSTIFIED
64471	10/9/2014	11/5/2014	Did not receive copies of closing docs.	Tammy	Consumer received copies
65362	5/5/2015	6/10/2015	Alleged abusive tactics by title agency owner, fiduciary issues	Tammy	UNJUSTIFIED
65518	6/11/2015	6/17/2015	Alleged Fiduciary Violation by releaseing funds held in escrow without authorization	Tammy	Insufficient Info, lack of jurisdiction
65595	6/30/2015	7/1/2015	Claim made on damage to home \$7000, actual repair \$150, Deductible \$550	Tammy	No Jurisdiction
65707	7/28/2015	10/30/2015	Alleged falsification in the recordation of documents with and for the Millard County recorder's office and its employees.	Tammy	Insufficient information
66220	11/23/2015	12/16/2015	Unclear title issues	Tammy	UNJUSTIFIED
66324	12/11/2015	12/16/15	Commission questions	Tammy	Question of Fact
66758	2/19/2016	4/15/2016	Right of Way issues	Tammy	Company upheld
66968	3/22/2016	4/28/2016	Cloud on Title	Tammy	No Violation
67090	4/15/2016	4/28/2016	Alleged Fraud/Forgery	Tammy	No Jurisdiction
67343	6/15/2016	8/2/2016	Possible Recording Error	Tammy	Insufficient Info
67390	6/24/2016	6/30/2016	Fraud by borrower in a real estate transaction	Tammy	No Jurisdiction
67671	8/23/2016		Balance of funds taken without authority	Adam	Settled in court

**Title Insurance Consumer
Open and Closed Per Month Report**

	Open	Closed		Open	Closed
January	2	1	January	0	0
February	1	1	February	0	0
March	1	0	March	0	0
April	0	1	April	0	0
May	0	0	May	1	0
June	0	0	June	2	1
July	0	0	July	1	1
August	0	0	August	0	0
September	0	0	September	0	0
October	0	0	October	0	1
November	0	0	November	2	2
December	0	0	December	2	3
Total 2011	4	3	Total 2015	8	8
January	0	0	January	0	0
February	0	0	February	1	0
March	0	0	March	2	0
April	1	0	April	1	2
May	0	0	May	0	0
June	0	1	June	2	1
July	0	0	July	0	0
August	0	0	August	1	1
September	0	0	September	0	0
October	0	0	October	0	0
November	0	0	November	0	0
December	0	0	December	0	0
Total 2012	1	1	Total 2016	7	4
January	0	0	January		
February	0	0	February		
March	0	0	March		
April	0	0	April		
May	1	0	May		
June	0	0	June		
July	0	1	July		
August	0	0	August		
September	0	0	September		
October	0	0	October		
November	0	0	November		
December	0	0	December		
Total 2013	1	1	Total 2017	0	0
January	0	1			
February	0	5			
March	1	0			
April	1	2			
May	0	0			
June	0	1			
July	0	0			
August	0	1			
September	0	0			
October	1	0			
November	0	1			
December	0	0			
Total 2014	3	11			

Title Insurance Enforcement Report

E-Case #	Date Opened	Recommended Action	Repeat Offense	Prior Offense	Action taken	Action Date	Closed Date	
2853	4/20/11	Informal Action			Notice sent	4/26/2011		TG
					Request for Pmt	10/4/2011		
					Invoice Pd	10/20/2011	10/20/2011	
2854	4/20/11	Informal Action			Notice Sent	4/26/2011		TG
					\$750 Pd		5/25/2011	
2855	4/20/11	Dismissal			Notice sent	4/26/2011		TG
					At AGs for Dismissal	11/15/2011		
					Order to Dismiss drafted	1/10/2012	2/29/2012	
2856	4/20/11	Informal Action			Notice sent	4/26/2011		TG
					\$750 Pd		5/25/2011	
2857	4/20/11	Informal Action			Notice sent	4/20/2011		TG
					Dismissed	5/26/2011		
							5/26/2011	
2858	4/20/11	Surrender in Lieu			Notice sent	4/26/2011		TG
					Hearing set 6/14/2011	5/24/2011		
					Signed Surr in Lieu	1/24/2012	2/29/2012	
2859	4/20/11	Informal Action			Notice sent	4/26/2011		TG
					Company out of business 8/23/2010			
					Out of Business	11/3/2011	11/3/2011	
2874	5/2/11	Order to Show Cause			To Gale	5/2/2011		AM
					S&O drafted	6/1/2011		
					Signed Surrender in Lieu Received	5/29/2012	5/29/2012	
2875	5/2/11	Stip & Order \$1,500			To Gale	5/2/2011		AM
					Invoice for \$500 pd	9/19/2011		
					Last Pmt received \$500	12/19/2011	12/19/2011	
3010	9/21/11	Cease and Desist			To Gale for C&D and Subpoena	9/21/2011		TG
					Subpeona mailed	3/15/2012		
					Closed/Opened erroneously	8/1/2012	8/1/2012	
3015	9/26/11	Complaint \$100,000 & \$3750			To Gale	9/26/2011		TG
					S&O sent	3/26/2013		
					Forfeiture Pd	4/8/2013	8/6/2013	
3024	10/21/11	Revocation			To Gale	10/24/2011		TG
					Pre-hearing scheduled	3/14/2012		
					License Revoked	4/9/2012	5/9/2012	
3030	10/18/11	Stip & Order \$5,000			To Gale	10/18/2011		AM
					S&O Drafted & Mailed	12/27/2011		
					Invoice \$5000	1/10/2012	1/30/2012	
3057	10/18/11	Stip & Order \$1,500			To Gale	11/15/2011		AM
					Pleading sent	1/13/2012		
					Invoice for \$1500 pd	1/23/2012	1/30/2012	
3074	12/19/11	Informal Action \$500			Informal for \$500/2 yr probation	1/24/2012		AM
					Resent notice	2/24/2012		
					Pmt made	6/12/2012	6/12/2012	
3101	2/6/12	Revocation			To Gale	3/13/2012		AM
					Approved T&E	5/14/2012	5/14/2012	
3113	3/12/12	NON-Renew			To Gale	3/13/2012		
					Closed	9/14/2012	9/14/2012	
3115	3/23/12	Stip and Order \$5,000			To Gale	3/27/2012		
					Req Order to Show Cause	6/7/2012		
					Forfeiture Pd	2/13/2013	2/13/2013	
3116	4/2/12	Stip & Order \$15,000			To Gale	4/2/2012		AM
					Mailed S&O	5/23/2012		
					Signed and Pd	7/9/2012	7/9/2012	

E-Case #	Date Opened	Recommended Action	Repeat Offense	Prior Offense	Action taken	Action Date	Closed Date	
3119	4/9/12	Stip & Order \$1,500			To Gale	4/9/2012		AM
					Received signed S&O	5/21/2012		
					Forfeiture pd	7/2/2012	7/2/2012	
3128	4/26/12	Informal Order \$1,500			Draft Pleading to AG	4/26/2012		TG
					Pmt Rec'd \$1500	5/21/2012	5/21/2012	
3129	4/26/12	Informal Order \$1,500			Draft Pleading to AG	4/26/2012		TG
					Order/Inv sent	5/7/2012		
					Forfeiture Paid	6/18/2012	6/18/2012	
3130	4/26/12	Order To Dismiss			Draft Pleading to AG	4/26/2012		TG
					Order/Inv sent	5/7/2012		
					New Order sent to new address	11/1/2012	11/1/2012	
3131	4/26/12	Dismiss OTSC			Draft Pleading to AG	4/26/2012		TG
					Hearing set 7/09/2012	6/10/2012		
					Sent Dismissal Order	10/29/2012	10/29/2012	
3132	4/26/12	Informal Order \$1,500			Draft Pleading to AG	4/26/2012		TG
					Order/Inv sent	5/7/2012		
					Forfeiture Paid	6/11/2012	6/11/2012	
3133	4/26/12	Informal Order \$1,500			Draft Pleading to AG	4/26/2012		TG
					Pmt Rec'd \$1500	5/7/2012	5/7/2012	
3134	4/26/12	Informal Order \$1,500			Draft Pleading to AG	4/26/2012		TG
					Order/Inv sent	5/7/2012		
					Motion to Dismiss	7/9/2012	7/9/2012	
3135	4/26/12	Informal Order \$1,500			Draft Pleading to AG	4/26/2012		TG
					Order/Inv sent	5/7/2012		
					Pymt Rec'd \$1500	5/30/2012	5/30/2012	
3143	5/8/12	Stip & Order \$1,500			Stip & O sent	5/30/2012		AM
					Stip & O rec'd	6/11/2012		
					Forfeiture Pd	7/16/2012	7/16/2012	
3179	6/18/12	Stip & Order \$1,500			To Gale	6/18/2012		AM
					Rec'd signed S&O	7/18/2012		
					Forf. Pd	8/13/2012	8/13/2012	
3180	6/18/12	Stip & Order \$3,000			S&O sent for signature	7/10/2012		AM
					Called on S&O	8/2/2012		
					Forf. Pd	9/11/2012	9/11/2012	
3193	7/18/12	Stip & Order \$1,500			To Gale	7/18/2012		
					Sched. for Title Meeting	9/10/2012		
					Forf. Paid	10/16/2012	10/16/2012	
3195	7/30/12	Stip & Order \$1,500			To Gale	7/30/2012		TG
					Invoice sent	9/10/2012		
					Forfeiture Pd	10/16/2012	10/16/2012	
3213	8/22/12	Order to Dismiss			Draft Pleading to AG	8/22/2012		TG
					Order/Inv sent	8/27/2012		
					Sent Order to Dismiss	10/18/2012	10/18/2012	
3216	9/11/12	Revocation Request			Complaint mailed	10/29/2012		TG
					Pre-hearing held	12/18/2012		
					License Revoked	12/31/2012	12/31/2012	
3219	9/20/12	OTSC Hearing \$3,750			Drafting Order	9/20/2012		TG
					Non-Appearance for Hearing	6/11/2013		
					License Revoked	7/8/2013	7/16/2013	
3220	9/20/12	Informal Order \$1,750			Drafting Order	9/20/2012		TG
					Informal Order mailed	2/19/2013		
					Fofeiture Pd	3/15/2013	3/15/2013	
3223	10/2/12	Stip & Order \$1,500						AM
					Rec'd signed S&O	10/30/2012		
					Forfeiture \$1500 Pd	11/27/2012	12/4/2012	
3237	11/13/12	Stip & Order \$2,500			Gave Report to Gale	11/13/2012		AM
					Received signed S&O	3/21/2013		
					Forfeiture Pd	4/19/2013	4/24/2013	

E-Case #	Date Opened	Recommended Action	Repeat Offense	Prior Offense	Action taken	Action Date	Closed Date	
3241	11/26/12	Stip & Order \$1,500			Gave Report to Gale	11/26/2012		AM
					Request for Payment	3/18/2013		
					Pd \$1500	3/20/2013	3/20/2013	
3242	11/26/12	Stip & Order Revocation			Gave Report to Gale	11/26/2012		AM
					S&O sent	2/21/2013		
					License Revoked	4/10/2013	4/22/2013	
3257	1/8/13	Stip and Order \$1,500			Gave Report to Gale	1/8/2013		AM
					Invoice Sent	3/14/2013		
					Case Closed Forfeiture Pd	4/22/2013	4/22/2013	
3267	3/5/13	Stip and Order \$4,500			S&O sent	3/19/2013		AM
					Received S&O	3/25/2013		
					Invoice Paid	5/2/2013	5/7/2013	
3268	3/5/13	Stip and Order \$1,000						AM
					S&O and Invoice sent	4/8/2013		
					Pd \$1000	4/25/2013	4/25/2013	
3270	3/8/13	Stip and Order \$1,500			S&O and Invoice sent	4/8/2013		AM
					Scheduled mo. payment \$500 rec'd	5/15/2013		
					Forfeiture PD \$1000	6/27/2013	7/1/2013	
3291	4/15/13	Stip and Order \$1,000			Sent Stip & Order	5/7/2013		AM
					Rec'd Stip & Order	5/20/2013		
					Forfeiture Pd \$1000	8/6/2013	8/6/2013	
3292	4/15/13	Stip and Order \$500			Sent Stip & Order	5/7/2013		AM
					Rec'd Stip & Order	5/20/2013		
					Final Pmt made	10/7/2013	10/7/2013	
3315	5/7/13	Stip and Order \$1,500			Stip & Order Sent	5/20/2013		AM
					Signed Stip & Order sent	6/10/2013		
					Forfeiture PD \$1500	7/22/2013	8/6/2013	
3316	5/7/13	Stip and Order \$1,500			Stip & Order Sent	5/20/2013		AM
					Signed S&O and Invoice sent	6/4/2013		
					Forfeiture PD \$1500	7/22/2013	8/6/2013	
3322	5/20/13	Stip and Order \$1,500			Stip & Order Sent	6/11/2013		AM
					Signed S&O and Invoice sent	6/24/2013		
					Forfeiture PD \$1500	7/25/2013	7/25/2013	
3323	5/20/13	Stip and Order \$2,500			Stip & Order Sent	6/11/2013		AM
					Signed S&O and Invoice sent	6/24/2013		
					Forfeiture PD \$2500	7/25/2013	7/25/2013	
3354	7/30/13	Complaint License Surrendered			Hearing set 12/9/13	10/7/2013		TG
					S&O were not agreed to by T&E	12/9/2013		
					License Surrendered	2/28/2014	5/30/2014	
3356	8/6/13	Informal Order Surrender in Lieu			Informal sent	10/25/2013		TG
					Invoice pmt req	1/9/2014		
					Surrender in Lieu	9/5/2014	9/5/2014	
3365	8/22/13	Complaint Revocation			to AAG	10/18/2013		
					Complaint/hearing set for 1/21/2014	12/10/2013		
					Default Revocation	3/7/2014	3/7/2014	
3366	8/22/13	Stip and Order Revocation			Accepted offer of S&O	10/2/2013		
					Received signed S&O	1/13/2014		
					Completed S&O Mailed	2/10/2014	2/10/2014	
3367	8/26/13	Complaint No Action			To AAG	10/17/2013		
					Case Closed Renewal EIN fixed	1/7/2014		
						1/7/2014	1/7/2014	
3375	9/5/13	Stipulation & Order \$73,000			Offer letter sent	9/5/2013		
					S&O being redrafted by AAG	2/27/2014		
					Fine Rec'd	5/30/2014	5/30/2014	
3376	9/5/13	Stipulation and Order \$225,500			Response to offer Rec'd	11/20/2013		TG
					To AAG	7/3/2014		
					Forfeiture PD \$225,500	9/29/2014	9/29/2014	
3395	10/30/13	Stip & Order \$10,500			To AAG	10/31/2013		AM
					S&O sent	11/25/2013		
					Forfeiture Pd	3/5/2014	3/5/2014	

E-Case #	Date Opened	Recommended Action	Repeat Offense	Prior Offense	Action taken	Action Date	Closed Date	
3404	11/12/13	Stip & Order \$1,500			To AAG	11/12/2013		AM
					S&O sent	11/25/2013		
					For. Pd	2/11/2014	2/11/2014	
3405	11/13/13	Stip & Order \$1,500			To AAG	11/14/2013		
					S&O with Invoice sent	1/13/2014		
					Forfeiture PD \$1000	1/27/2014	2/3/2014	
3406	11/19/13	Stip & Order \$1,000			To AAG	11/14/2013		
					S&O sent	12/13/2013		
					Fine Pd	12/20/2013	12/20/2013	
3407	11/19/13	Informal Order \$1,000			To AAG	11/14/2013		
					Informal order sent	11/26/2013		
					Fine Pd	12/12/2013	12/12/2013	
3408	11/19/13	Informal Order \$6,500			To AAG	11/14/2013		TG
					Informal order sent	11/26/2013		
					License surrendered	12/31/2013	12/31/2013	
3409	11/19/13	Informal Order \$1,000			To AAG	11/14/2013		
					Informal order sent	11/26/2013		
					Fine Pd	12/12/2013	12/12/2013	
3410	11/19/13	Informal Order \$1,000			To AAG	11/14/2013		
					Informal order sent	11/26/2013		
					Fine Pd	12/13/2013	12/13/2013	
3411	11/19/13	Informal Order \$1,000			To AAG	11/14/2013		
					Informal order sent	11/26/2013		
					Fine Pd	12/17/2013	12/17/2013	
3430	12/30/13	Stip & Order \$1,500			To AAG	12/31/2013		
					S&O sent	2/26/2014		
					Fine Paid	4/22/2014	4/22/2014	
3431	12/30/13	Stip & Order \$1,500			To AAG	12/31/2013		
					S&O sent	2/27/2014		
					Forfeiture PD \$1500	5/8/2014	5/8/2014	
3445	1/29/14	Informal Order \$250			To AAG	1/30/2014		
					S&O sent w/invoice	4/14/2014		
					Fine Paid	4/22/2014	4/22/2014	
3453	2/24/14	Stip & Order \$1,500			To AAG	2/24/2014		
					Forfeiture PD \$1500	5/14/2014	5/14/2014	
3454	2/24/14	Stip & Order \$3,000			To AAG	2/24/2014		
					Stip & Order sent w/invoice	4/14/2014		
					Forfeiture PD \$3000	5/14/2014	5/14/2014	
3455	2/25/14	Stip & Order \$500			To AAG	2/25/2014		
					Before T&E 6/9/2014	6/9/2014		
					Forfeiture Pd	7/1/2014	7/1/2014	
3458	3/11/14	Stip & Order \$1,500			To AAG	3/17/2014		
					Request for Pmt sent	7/22/2014		
					Forfeiture PD \$1500	7/30/2014	7/30/14	
3465	3/24/14	Stip & Order \$1,500			To AAG	3/25/2014		
					S&O sent with Invoice	6/13/2014		
					Forfeiture Pd	6/20/2014	6/20/2014	
3501	5/28/14	Stip & Order \$22,750	Yes, 2002	Actions 2002, and 2012	To AG for drafting	1/30/2015		TG
					Stip and O and Invoice mailed	4/13/2015		
					Forfeiture Paid	4/23/2015	4/23/2015	
3511	7/1/14	Stip & Order \$5,000			Report to AG's	7/1/2014		
					Stip & O Mailed	9/8/2014		
					Forfeiture PD \$5000	9/19/2014	9/19/2014	
3512	7/1/14	Stip & Order \$1,500			To AG's for drafting	7/1/2014		AM
					Stip & O and Inv. Mailed	10/20/2014		
					Forfeiture PD	10/30/2014	10/30/2014	
3526	8/28/14	Stip & Order \$9,000			\$1500 Forfeiture PD	11/3/2014		AM
					\$3000 Forfeiture PD	11/24/2014		
					Closed Forfeiture PD	3/2/2015	3/2/2015	

E-Case #	Date Opened	Recommended Action	Repeat Offense	Prior Offense	Action taken	Action Date	Closed Date	
3527	8/28/14	Informal Order \$1,000			Drafted Pleading	8/28/2014		
					Mailed IO	8/29/2014		
					Forfeiture Pd	9/12/2014	9/12/2014	
3528	8/28/14	Informal Order \$3,000			Drafted Pleading	8/29/2014		
					Mailed IO	8/28/2014		
					Forfeiture PD	10/28/2014	10/28/2014	
3533	9/5/14	2 counts Unlawful Dealing of Property by Fiduciary ((F2)(felony2) and F3), 1 count Communications Fraud (F2); warrant issued			Informal Sent/Returned	9/5/2014		TG
					Informal Sent/Returned	9/11/2014		
3534	9/9/14	Stip & Order \$1,500			Warrant lissued	2/25/2015	10/6/2014	
					To AG's for drafting	9/9/2014		
					Stip & Order/Inv. Mailed	10/20/2014		
3535	9/9/14	Stip & Order \$1,500			Forfeiture Pd	12/2/2014	12/2/2014	
					To AG's for drafting	9/9/2014		
					Stip & Order/Inv. Mailed	10/20/2014		
3547	10/28/14	Stip & Order \$32,500			Forefeiture Pd	11/18/2014	11/18/2014	
					To AG's for drafting	10/28/2014		AM
					Invoice Sent	4/13/2015		
3575	1/20/15	Stip & Order \$3,000	Yes, 2012	Yes Multiple cases since 2001	Forfeiture Pd	4/27/2015	4/27/2015	
					To AG's for drafting	1/20/2015		
					Before T&E	2/9/2015		
3576	1/21/15	Denial of License	NA	Judgements against Primary	Forfeiture Paid	3/9/2015	3/10/2015	
					To AG's for hearing	1/22/2015		RO
					AG said license should be issued.	2/5/2015		
3578	1/23/15	Informal Order \$1,000	No		Case closed	2/5/2015	2/5/2015	
					Informal sent	1/27/2015		TG
3580	1/29/15	Stip and Order \$1,500	No		\$1000 Forfeiture PD	2/3/2015	2/3/2015	
					Sent to AG for drafting	1/29/2015		TG
					Approved T&E			
3588	2/17/15	Stip and Order \$1,500	No		Pmts received	4/3/2015	4/3/2015	
					Sent to AG for drafting	2/17/2015		
					Mailed Signed S&O	3/19/2015		
3589	2/17/15	Stip and Order \$750	No		Forfeiture PD	4/1/2015	4/1/2015	
					Sent to AG for drafting	2/17/2015		
					S&O mailed with Invoice	3/19/2015		
3597	3/5/15	Surrender in Lieu	Yes 2008	2003, 2005 2009, 2012	Forfeiture PD	4/1/2015	4/1/2015	
					Informal Sent/Invoiced	3/6/2015		
3598	3/5/15	Informal Order \$500	No		Surrender in Lieu Received	6/15/2015	6/30/2015	
					Informal Sent/Invoiced	3/6/2015		
3604	3/30/15	Stip and Order \$2,500	No		Forfeiture PD	4/16/2015	4/16/2015	
					To AG's for drafting	3/31/2015		
					Signed for Title and Escrow Mtg	4/15/2015		
3624	6/9/15	\$1,000 Public Letter of Admonition	No		Forfeiture PD	6/2/2015	6/2/2015	
					Informal Action mailed	6/11/2015		
3625	6/9/15	Stip and Order \$7,500	No		Forfeiture PD	6/24/2015	6/24/2015	
					To AG's for drafting	6/11/2015		
					Recieved signed S&O	9/1/2015		
3647	8/4/15	\$1,500 Stip and Order	No	2002, 2010	Final Payment made	11/30/2015	11/30/2015	
					To AG's for drafting	8/4/2015		
					Recieved signed S&O	8/25/2015		
3648	8/4/15	\$1,500 Stip and Order	No		Forfeiture PD	9/21/2015	9/21/2015	
					To AG's for drafting	8/4/2015		
3648	8/4/15	Stip and Order	No		Recieved signed S&O	8/18/2015		
					Forfeiture PD	10/6/2015	10/6/2015	

E-Case #	Date Opened	Recommended Action	Repeat Offense	Prior Offense	Action taken	Action Date	Closed Date	
3730	2/19/16	Default Order	NO		Default Order T&E Committee	4/21/2016		
					Default Revocation mailed		5/17/2016	
3731	2/22/16	\$6,500 Informal Order			Informal mailed	2/25/2016		
					Pd Invoice	3/7/2016		
							3/7/2016	
3742	3/14/16	\$3,000 Stip and Order	yes		Stip and Order sent to AG	3/14/2016		TG
					Concurred by T&E/Stip&Order sent	4/11/2016		
					Pd Forfeiture	5/16/2016	5/26/2016	
3753	3/21/16	\$1,500 Informal Order	yes	2014	To ALJ			TG
					Informal sent with invoice	3/28/2016		
					Payment Rec'd	4/26/2016	4/26/2016	
3774	5/9/16	\$500	No		Offer Letter sent	7/20/2016		TG
					Stip & O to AG	8/12/2016		
					Pd Forfeiture	9/27/2016	9/27/2016	
3776	5/13/16	\$1000 + \$375 Informal Order	No		Informal Mailed	5/13/2016		TG
					Closed Forfeiture PD	6/27/2016	6/30/2016	
3777	5/13/16	\$1,000 Informal Order 24 Mos Probation	Yes	2014	Informal Mailed	5/13/2016		
					Paid	5/24/2016		
							5/24/2016	
3778	5/13/16	\$2750 & \$375 Informal Order 24 Mo Probation	Yes	2013, 2014	Informal Mailed	5/13/2016		
					Surrender in Lieu requested	5/23/2016		
					Surrender in Lieu signed		6/6/2016	
3779	5/13/16	\$1,000 Informal Order	No		Informal Mailed	5/23/2016		
					Withdrew action	6/20/2016		
							6/20/2016	
3780	5/13/16	\$1,000 Informal Order	No		Informal Mailed	5/23/2016		
					Closed Forfeiture PD	6/28/2016	6/30/2016	
3788	6/14/16	\$1,000 Informal Order	No		Informal Mailed	6/15/2016		
							8/2/2016	
3822	8/31/16	Revocations	No		Sent to AGs for Complaint	9/1/2016		
3823	8/31/16	Revocation	No		Sent to AGs for Complaint	9/1/2016		
3823	9/6/16	\$1,500 Stip and Order	No		Sent to AGs for Drafting	9/6/2016		
					Invoice mailed	10/17/2016		
					Second Req for pmt	12/1/2016		
3824	9/6/16	\$1,500 Stip and Order	No		Sent to AGs for Drafting	9/6/2016		
					Invoice mailed	10/17/2016		
					Payment Rec'd	12/15/2016	12/15/2016	
3845	12/19/16	\$63,995 Stip and Order	No		Sent to AGs for Drafting	12/19/2016		
					Invoice Mailed	10/17/2016		
					Payment Rec'd	3/23/2017	3/23/2017	
3871	3/14/17	\$3,000 Stip and Order	No		Sent to AGs for Drafting	3/14/2017		AM
					Invoice Mailed	4/3/2017		
					Payment Rec'd	5/8/2017	5/8/2017	
3866	3/1/17	\$2,000 Stip and Order	No		Sent to AGs for Drafting	3/1/2017		AM
					Invoice Mailed	4/3/2017		
					Payment Rec'd	4/26/2017	4/26/2017	
3872	3/16/17	\$1,000 Stip and Order	No		Sent to AG's for Drafting	3/16/2017		AW
					Invoice Mailed	5/8/2017		
					Payment Rec'd	5/15/2017	5/15/2017	